

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Docket No: 06005/39537

**PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53**



Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application of

Inventors: Gary Law, Michael G. Ott, Kent A. Burr, Godfrey R. Sherriff, and Julian Naidoo

Title: STATE MACHINE FUNCTION BLOCK WITH A USER MODIFIABLE STATE  
TRANSITION CONFIGURATION DATABASE

**1. Type of Application**

- ☒ This is a new application for a
- ☒ utility patent.
- ☐ design patent.
- ☐ This is a continuation-in-part application of prior application.

**2. Application Papers Enclosed**

- 1 Title Page
- 24 Pages of Specification (excluding Claims, Abstract, Sequence Listing & Drawings)
- 18 Page(s) of Claims
- 1 Page(s) of Abstract
- 13 Sheet(s) of Drawings (Figs. 1 to 17)
- ☒ Formal
- ☐ Informal
- 0 Page(s) of Sequence Listing

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on September 5, 2003, in an envelope addressed to the Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EV 323 774 832 US.

Richard Zimmerman

**3. Declaration or Oath**

- ☐ Enclosed
- ☐ Executed by (check all applicable boxes)
- ☐ Inventor(s)
- ☐ Legal representative of inventor(s)  
(37 CFR 1.42 or 1.43)
- ☐ Joint inventor or person showing a proprietary interest on behalf of  
inventor who refused to sign or cannot be reached
- ☐ The petition required by 37 CFR 1.47 and the statement  
required by 37 CFR 1.47 are enclosed. See Item 5D  
below for fee.
- ☒ Not enclosed - the undersigned attorney or agent is authorized to file this application  
on behalf of the applicant(s). An executed declaration will follow.

**4. Small Entity Status**

- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ A small entity statement is(are) attached.

**5. Additional Papers Enclosed**

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Declaration of Biological Deposit
- ☐ Computer readable copy of sequence listing containing nucleotide and/or amino  
acid sequence
- ☐ Microfiche computer program
- ☐ Associate Power of Attorney
- ☐ Verified translation of a non-English patent application
- ☐ An assignment of the invention
- ☐ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
- ☒ Return receipt postcard
- ☐ Other: Application Data Sheet

6. **Priority Applications Under 35 USC 119**

Certified copies of applications from which priority under 35 USC 119 is claimed are listed below and

☐ are attached.

☐ will follow.

| COUNTRY | APPLICATION NO. | FILED |
|---------|-----------------|-------|
|         |                 |       |
|         |                 |       |
|         |                 |       |

7. **Filing Fee Calculation (37 CFR 1.16)**

A. ☒ **Utility Application**

| CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT(S) (IF ANY) |           |           |              |          |                           |            |
|---|-----------|-----------|--------------|----------|---------------------------|------------|
|   |           |           | SMALL ENTITY |          | OTHER THAN A SMALL ENTITY |            |
|   | NO. FILED | NO. EXTRA | RATE         | FEE      | RATE                      | FEE        |
| BASIC FEE   |           |           |              | \$375.00 |                           | \$750.00   |
| TOTAL   | 79 - 20   | = 59      | X 9 =        | \$0.00   | X 18 =                    | \$1062.00  |
| INDEP.  | 4- 3      | = 1       | X 42 =       | \$0.00   | X 84 =                    | \$84.00    |
| First Presentation of Multiple Dependent Claim                |           |           | + 140 =      | \$0.00   | + 280 =                   | \$0.00     |
| Filing Fee:   |           |           |              | \$0.00   | OR                        | \$1,788.00 |

B. ☐ **Design Application (\$165.00/\$330.00)**

Filing Fee: \$

C. ☐ **Plant Application (\$255.00/\$510.00)**

Filing Fee: \$

D. **Other Fees**

☐ Recording Assignment [Fee — \$40.00 per assignment]

\$

☐ Petition fee for filing by other than all the inventors  
or person on behalf of the inventor where inventor refused to sign  
or cannot be reached [Fee — \$130.00]

\$

☐ Other

\$

**Total Fees Enclosed \$1,788.00**

**8. Method of Payment of Fees**

- ☒ Enclosed check in the amount of: \$1,788
- ☐ Charge Deposit Account No. 13-2855 in the amount of: \$  
A copy of this Transmittal is enclosed.
- ☐ Not enclosed

**9. Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, Gerstein & Borun at the address below.

**10. Correspondence Address**

Customer No.: 04743

Respectfully submitted,  
By:   
\_\_\_\_\_  
Gregory E. Stanton  
Reg. No: 45,127  
MARSHALL, GERSTEIN & BORUN  
6300 Sears Tower  
233 South Wacker Drive  
Chicago, Illinois 60606-6357  
(312) 474-6300  
(312) 474-0448 (Telefacsimile)

September 5, 2003

17236 U.S. PTO  
09/05/03

PTO/SB/17 (05-03)  
Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# **FEE TRANSMITTAL** **for FY 2003**

Effective 01/01/2003, Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) **1,788.00**

## **Complete if Known**

|                      |                              |
|----------------------|------------------------------|
| Application Number   | Not Yet Assigned             |
| Filing Date          | September 5, 2003 - Herewith |
| First Named Inventor | Gary Law                     |
| Examiner Name        | Not Yet Assigned             |
| Art Unit             | N/A                          |
| Attorney Docket No.  | 06005/39537                  |

## **METHOD OF PAYMENT (check all that apply)**

☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account

Deposit Account Number

13-2855

Deposit Account Name

MARSHALL, GERSTEIN & BORUN LLP

The Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

| Large Entity        |          | Small Entity |          | Fee Description        | Fee Paid      |
|---------------------|----------|--------------|----------|------------------------|---------------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |                        |               |
| 1001                | 750      | 2001         | 375      | Utility filing fee     | 750.00        |
| 1002                | 330      | 2002         | 165      | Design filing fee      |               |
| 1003                | 520      | 2003         | 260      | Plant filing fee       |               |
| 1004                | 750      | 2004         | 375      | Reissue filing fee     |               |
| 1005                | 160      | 2005         | 80       | Provisional filing fee |               |
| <b>SUBTOTAL (1)</b> |          |              |          |                        | <b>750.00</b> |

### **2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 79                 | -20** = 59   | 18.00          | 954.00   |
| Independent Claims | 4            | -3** = 1       | 84.00    |
| Multiple Dependent |              |                |          |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 84       | 2201         | 42       | Independent claims in excess of 3                          |
| 1203         | 280      | 2203         | 140      | Multiple dependent claim, if not paid                      |
| 1204         | 84       | 2204         | 42       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$) **1788.00**

\*\*or number previously paid, if greater; For Reissues, see above

## **FEE CALCULATION (continued)**

### **3. ADDITIONAL FEES**

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051                | 130      | 2051         | 65       | Surcharge - late filing fee or oath  |          |
| 1052                | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053                | 130      | 1053         | 130      | Non-English specification  |          |
| 1812                | 2,520    | 1812         | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804                | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251                | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252                | 410      | 2252         | 205      | Extension for reply within second month                                    |          |
| 1253                | 930      | 2253         | 465      | Extension for reply within third month                                     |          |
| 1254                | 1,450    | 2254         | 725      | Extension for reply within fourth month                                    |          |
| 1255                | 1,970    | 2255         | 985      | Extension for reply within fifth month                                     |          |
| 1401                | 320      | 2401         | 160      | Notice of Appeal   |          |
| 1402                | 320      | 2402         | 160      | Filing a brief in support of an appeal                                     |          |
| 1403                | 280      | 2403         | 140      | Request for oral hearing   |          |
| 1451                | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453                | 1,300    | 2453         | 650      | Petition to revive - unintentional   |          |
| 1501                | 1,300    | 2501         | 650      | Utility issue fee (or reissue)   |          |
| 1502                | 470      | 2502         | 235      | Design issue fee   |          |
| 1503                | 630      | 2503         | 315      | Plant issue fee  |          |
| 1460                | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807                | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806                | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021                | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                | 750      | 2809         | 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                | 750      | 2810         | 375      | For each additional invention to be examined (37CFR 1.129(b))              |          |
| 1801                | 750      | 2801         | 375      | Request for Continued Examination (RCE)                                    |          |
| 1802                | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |              |          | 1614; Claims - extra independent (over three);                             |          |
|                     |          |              |          | 1615 Claims - extra total (over 20)  |          |

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)

## **SUBMITTED BY**

Name (Print/Type) Gregory E. Stanton

Registration No. (Attorney/Agent)

45,127

## **Complete (if applicable)**

Telephone (312) 474-6300

Signature

Date

September 5, 2003

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 323774832 US, in an envelope addressed to: MS Patent Application, Commission for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: September 5, 2003

Signature: Richard Zimmermann (Richard Zimmermann)